



PCDocs73793

TO SECTOR 1/5

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re patent application of: )  
Riyi Shi et al. )  
Serial No. 09/438,206 )  
Filed: November 12, 1999 )  
METHODS AND COMPOSITIONS )  
FOR TREATING MAMMALIAN SPINAL )  
CORD INJURIES )  
January 11, 2000

**REQUEST FOR REFUND**

Assistant Commissioner of Patents  
Washington, D. C. 20231

Sir:

This is a request for a refund of one-half of the large entity filing fee which was paid on November 12, 1999 in the amount of \$778.00.

A verified Statement claiming small entity status is being filed herewith. Therefore, the appropriate fee should have been the small entity fee of \$389.00. Please therefore credit Deposit Account No. 23-3030 in the amount of \$389.00.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231 on	
January 12, 2000	
_____ Date of Deposit	
Kenneth A. Gandy	
_____ Name of Registered Representative	
<i>Kenneth A. Gandy</i> Signature	
_____ January 12, 2000	
_____ Date of Signature	

Respectfully submitted,

By *Kenneth A. Gandy*  
Kenneth A. Gandy  
Reg. No. 33,386  
Woodard, Emhardt, Naughton,  
Moriarty & McNett  
Bank One Center/Tower, Suite 3700  
111 Monument Circle  
Indianapolis, Indiana 46204-5137

(317) 634-3456



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 FOR TREATING MAMMALIAN SPINAL )  
 CORD INJURIES )

**SUBMISSION OF MISSING PARTS OF APPLICATION**

Assistant Commissioner for Patents  
 Washington, D. C. 20231  
 ATTN: Box Missing Parts

Sir:

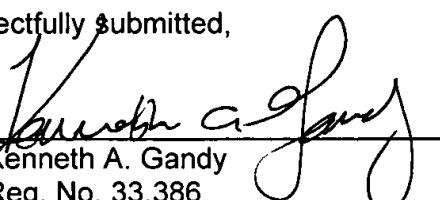
Please consider the following. Additionally, please provide any extensions of time which may be necessary and charge any fees which may be due to Deposit Account No. 23-3030, but not to include any payment of issue fees.

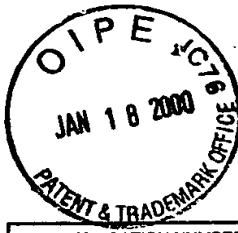
Pursuant to the Notice to File Missing Parts of Application received for the above application, Applicants submit herewith Declarations and Powers of Attorney, a check for \$65.00 reflecting the small entity surcharge under 37 C.F.R. § 1.16(e) for filing a declaration later than the filing date, and a copy of the PTO Notice to File Missing Parts of Application. Applicants claim small entity status via Verified Statements Claiming Small Entity Status submitted simultaneously with this document.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231 on	
<u>January 12, 2000</u>	
Date of Deposit	
_____ Kenneth A. Gandy	
Name of Registered Representative	
<u>Kenneth A. Gandy</u>	
Signature	
<u>January 12, 2000</u>	
Date of Signature	

Respectfully submitted,

By

  
 Kenneth A. Gandy  
 Reg. No. 33,386  
 Woodard, Emhardt, Naughton,  
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 Bank One Center/Tower, Suite 3700  
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 Indianapolis, Indiana 46204-5137  
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**UNITED STATES DEPARTMENT OF COMMERCE****Patent and Trademark Office**

Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
09/438,206	11/12/99	SHI	R 7024-427

09/438,206 11/12/99 SHI

R 7024-427

0212/1213

KENNETH A GANDY  
WOODARD EMHARDT NAUGHTON  
MORIARY & MCNETT BANK ONE CENTER/TOWER  
111 MONUMENT CIRCLE SUITE 3700  
INDIANAPOLIS IN 46204-5137

NOT ASSIGNED

1623

DATE MAILED:

1.13.00  
ENTERED  
2.13.00

12/13/99

**NOTICE TO FILE MISSING PARTS OF APPLICATION*****Filing Date Granted***

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the SURCHARGE set forth in 37 CFR 1.16(e) of  \$65.00 for a small entity in compliance with 37 CFR 1.27, or  \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

*If all required items on this form are filed within the period set above, the total amount owed by applicant as a*  
 **small entity (statement filed)**  **non-small entity is \$ 130.00**.

1. The statutory basic filing fee is:  
 missing.  
 insufficient.

*Applicant must submit \$ \_\_\_\_\_ to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*

2. The following additional claims fees are due:

\$ \_\_\_\_\_ for \_\_\_\_\_ total claims over 20.

\$ \_\_\_\_\_ for \_\_\_\_\_ independent claims over 3.

\$ \_\_\_\_\_ for multiple dependent claim surcharge.

*Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.*

3. The oath or declaration:

is missing or unsigned.

does not cover the newly submitted items.

*An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.*

4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*

5. The signature of the following joint inventor(s) is missing from the oath or declaration:

*An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.*

6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

7. Your filing receipt was mailed in error because your check was returned without payment.

8. The application was filed in a language other than English.

*Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).*

9. OTHER:

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

***A copy of this notice MUST be returned with the reply.***

Customer Service Center

Initial Patent Examination Division (703) 308-1202

65.00

FT125  
12/20/2000